United Nations E/AC.51/2008/3

Economic and Social Council

Distr.: General
27 March 2008

Original: English

Committee for Programme and Coordination
Forty-eighth session
9 June-3 July 2008
Item 3 (c) of the provisional agenda*
Programme questions: evaluation

Report of the Office of Internal Oversight Services on the triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its forty-fifth session on the in-depth evaluation of the United Nations Human Settlements Programme

Summary

The present report of the Office of Internal Oversight Services (OIOS) is submitted in accordance with the decision taken by the Committee for Programme and Coordination at its twenty-second session to review the implementation of its recommendations three years after taking decisions on an evaluation. This triennial review determines whether or not recommendations from the in-depth evaluation of the United Nations Human Settlements Programme (UN-Habitat), as endorsed by the Committee for Programme and Coordination and the General Assembly, have been implemented.

OIOS finds that all endorsed in-depth evaluation recommendations have been implemented by UN-Habitat, many through its comprehensive strategic planning process and medium-term strategic and institutional plan for 2008-2013. The Governing Council of UN-Habitat approved the plan at its twenty-first session in April 2007. In the past three years, UN-Habitat has undertaken several initiatives to streamline its strategies, better leverage its resources and increase its efficiency in coordination, collaboration and management.

* E/AC.51/2008/1.

08-28620 (E) 210408

UN-Habitat sharpened its focus by identifying six priority areas described in the medium-term strategic and institutional plan. They include (a) advocacy, monitoring and partnerships, (b) participatory urban planning, management and governance, (c) pro-poor land and housing, (d) environmentally sound and affordable urban infrastructure and services, (e) strengthening of human settlements finance systems, and (f) management excellence. Furthermore, UN-Habitat created a new global campaign on sustainable urbanization, absorbing the two global campaigns on secure tenure and urban governance. A "forward-looking" strategy with respect to the new global campaign as well as an overall resource mobilization strategy for UN-Habitat was developed, following a comprehensive and consultative process. They were included as part of the medium-term strategic and institutional plan.

In addition, recommendations from an evaluation of the impact of the UN-Habitat programme managers programme are being addressed and processes and procedures have been streamlined and improved in order to better integrate best practices into the work of UN-Habitat and to further strengthen results-based management. Based on a process of prioritization, the Urban Economy Branch established its research priorities, responsibilities for inter-agency affairs have been reassigned from the Secretariat of the Governing Council to the Office of the Executive Director and resources for monitoring and evaluation have been increased.

A Deputy Executive Director has been appointed who has the overall responsibility, inter alia, for coordinating the fund-raising activities of UN-Habitat. UN-Habitat regularly participates in meetings of the Executive Committee on Humanitarian Affairs and of the Inter-Agency Standing Committee. The Department of Political Affairs considers inviting UN-Habitat to meetings of the Executive Committee on Peace and Security, as and when appropriate to the topics discussed.

UN-Habitat pilot projects for slum upgrading include a plan for scaling up. The defined role of the Slum Upgrading Facility is that of a "change agent" and includes setting up processes and demonstration projects at the local level in order to create confidence in the domestic consumer lending market. The financial rules and regulations of the UN-Habitat Foundation were promulgated by the Secretary-General and published, effective 1 August 2006.

I. Introduction

1. The present report is a triennial review of the implementation of recommendations made in the report of the Office of Internal Oversight Services (OIOS) on the in-depth evaluation of the United Nations Human Settlements Programme (UN-Habitat) (E/AC.51/2005/3). It is undertaken in accordance with the decision taken by the Committee for Programme and Coordination at its twenty-second session to review the implementation of recommendations three years after taking decisions on an evaluation. The objective of the review is to determine whether or not the recommendations have been implemented. UN-Habitat reviewed the draft and did not have any comments.

2. The General Assembly, in accordance with the conclusions and recommendations of the Committee for Programme and Coordination in the report on its forty-fifth session (A/60/16), endorsed the following recommendations made by OIOS in the aforementioned report on the in-depth evaluation of UN-Habitat: 1, 2 and 5 to 13, including rewording of recommendation 7 (see General Assembly resolution 60/257; see also A/60/16, paras. 151-158). Recommendation 3 was not endorsed and recommendation 4 was partially endorsed.

3. The following tasks were undertaken in order to carry out the triennial review: (a) a review of relevant background information and key UN-Habitat documents; (b) a review of information provided by UN-Habitat during the OIOS semi-annual process of monitoring implementation of recommendations, which began in January 2006; (c) 12 interviews or e-mail correspondence with key staff from UN-Habitat and the Department of Political Affairs.[1]

4. When the in-depth evaluation report was issued, it was one of the key documents discussed at the twentieth session of the UN-Habitat Governing Council in April 2005 (see A/60/8) as well as at the 17th regular meeting of its intersessional subsidiary body, the Committee of Permanent Representatives in May 2005 (see HSP/GC/21/2/Add.9). During both meetings key decisions were made for addressing the recommendations. Many of the recommendations from the in-depth evaluation were largely addressed through the medium-term strategic and institutional plan for 2008-2013, approved by UN-Habitat (see HSP/GC/21/5).

II. Findings

5. In summary, OIOS finds that all 12 endorsed recommendations have been implemented by UN-Habitat. The following is a discussion of the specific findings, according to each recommendation.

Recommendation 1: sharpening the focus of UN-Habitat

Given its very broad mandate and the very limited scale of its available resources, UN-Habitat should identify a few critical areas of its mandates on which to focus in order to have the greatest impact within the constraints imposed by its approved work programme. This process of identifying areas of

[1] One individual in the Department of Political Affairs; 1 individual in the New York office of the United Nations Human Settlements Programme; and 10 individuals in UN-Habitat, Nairobi.

focus should result in proposals to be submitted to the Committee of Permanent Representatives in the first half of 2006.

6. The Governing Council endorsed the foregoing recommendation at its twentieth session in May 2005 and requested the Executive Director to develop a six-year medium-term strategic and institutional plan (HSP/GC/21/5/Add.1, para. 10). According to UN-Habitat, in order to develop the plan and address this recommendation, the following steps had been taken by June 2006: establishment of a biweekly Director's meeting, with the medium-term strategic and institutional plan as a standing item on its agenda; the convening, on a monthly basis, of the Senior Management Board, with the plan as a standing item on its agenda; and the establishment of an in-house task force on the medium-term strategic and institutional plan, consisting of staff from all subprogrammes.

7. The medium-term strategic and institutional plan was also drafted in alignment with the United Nations system-wide reform and coherence initiative and issues raised during the third session of the World Urban Forum, the 2005 World Summit and the Millennium Development Goals (see HSP/GC/21/2, paras. 1, 6, 57 and 92). It was developed through a comprehensive strategic planning process involving consultations with key stakeholders, including UN-Habitat staff, partners, Member States and the Committee for Permanent Representatives. The strategic planning process entailed consolidating and building upon previous reforms, analysing current and emerging trends and issues in the areas of urbanization, urban poverty and slum formation, considering the broader mandate of UN-Habitat (the Habitat Agenda) and United Nations system-wide reform, and reviewing independent assessments of the strengths and weaknesses of UN-Habitat (see HSP/GC/21/5, box 2).

8. The Governing Council approved the medium-term strategic and institutional plan for 2008-2013 at its twenty-first session in April 2007 (A/62/8, resolution 21/2). In accordance with the plan, the overarching goal for UN-Habitat is to ensure an effective contribution to sustainable urbanization and key elements of the plan are its sharpened focus, an enhanced normative framework and partnerships. The sharpened focus of UN-Habitat, contained in the plan, comprises the following six areas:

(a) Advocacy, monitoring and partnerships;

(b) Participatory urban planning, management and governance;

(c) Pro-poor land and housing;

(d) Environmentally sound and affordable urban infrastructure and services;

(e) Strengthening human settlements finance systems;

(f) Excellence in management (HSP/GC/21/5, paras. 31 and 34-35).

9. According to UN-Habitat, all six areas are mutually reinforcing and represent a sharpened focus for 2008-2013. As they are the institutional priorities for UN-Habitat, it will take a more secondary role to addressing other emerging issues which can be addressed by its partners. After the Governing Council approved the medium-term strategic and institutional plan, an action plan was developed from May to November 2007. The Committee of Permanent Representatives approved the action plan on 6 December 2007. It includes a series of 12 measures that serve to

focus the working methods and work culture of UN-Habitat in alignment with the focus areas contained in the medium-term strategic and institutional plan.

10. OIOS considers this recommendation implemented.

Recommendation 2: improve the planning, management and funding of the global campaigns

The Shelter and Sustainable Human Settlements Development Division should enhance the impact of the global campaigns, through a strategic review and programming exercise, by (a) refining the current campaign model on the basis of past lessons; (b) assisting the sustainability of the campaign momentum beyond the launch event by developing and sharing, at the planning stage, the strategic plans of action with traditional donors and potential new donors; and (c) mobilizing adequate resources for campaign activities.

11. A process of developing a "forward-looking" strategic plan to enhance the impact of the global campaigns began in 2005, pursuant to resolution 20/12, adopted by the Governing Council at its twentieth session in April 2005. While the decision to develop the strategic plan was primarily based on recommendations and lessons learned from the evaluation of the UN-Habitat global campaigns for secure tenure and urban governance, commissioned by UN-Habitat, the OIOS recommendation further supports the initiative (see HSP/GC/20/INF/7).

12. To assist in the sustainability of the campaign momentum, the development of the "forward-looking" strategic plan involved a consultative process by management to review the two global campaigns with key stakeholders, including staff throughout UN-Habitat, members from the Committee of Permanent Representatives, partners, Member States and both traditional donors and potential new donors. As a result of this process and lessons learned, UN-Habitat decided to absorb the two current global campaigns on secure tenure and urban governance into one new global campaign, the global campaign for sustainable urbanization. The strategic plan was integrated into the medium-term strategic and institutional plan and approved by the Governing Council at its twenty-first session (see Governing Council resolution 21/2).

13. The global campaign for sustainable urbanization will focus on monitoring and raising awareness at the global and national levels of the challenges and opportunities of urbanization. The campaign will draw on resources from the monitoring, policy analysis, information, media relations and substantive subprogrammes to champion policy options that promote sustainable urbanization (see HSP/GC/21/5, para. 52). The campaign will be managed by the Office of the Deputy Executive Director, supported by a sustainable urban development network, which will include existing global programmes. It will be launched by UN-Habitat and its partners in countries that meet established criteria. Further elaboration of the medium-term strategic and institutional plan will detail a plan for selecting a campaign theme from the five substantive focus areas of UN-Habitat for 2008-2013 in order to allow the new global campaign to focus its efforts and prioritize the issues it will address during a biennium period. Such activities are meant to implement the Habitat Agenda in a coordinated framework for UN-Habitat and its partners at the global and local levels.

14. According to UN-Habitat, it will carry out the following activities of the global campaign for 2008: develop its concept paper, including its institutional structure, plan of activities and monitoring framework with indicators and targets; conduct a consultative process with key partners to further refine the plan of activities; align the global campaign with the UN-Habitat resource mobilization and allocation strategy; and launch the global campaign at the fourth World Urban Forum and implement activities with partners at the global, regional, national and local levels. To address the resource needs for the new global campaign, a resource mobilization strategy was developed as part of the medium-term strategic and institutional plan. Based on the resource mobilization strategy, the campaign will leverage current in-kind UN-Habitat contributions and mobilize external funding. To support implementation of the resource mobilization strategy, a Resource Mobilization Officer post at the P-4 level was approved by the Governing Council in its resolution 21/2.

15. OIOS considers this recommendation implemented.

Recommendation 3 (withdrawn; not endorsed by the Committee for Programme and Coordination)

Recommendation 4: publications

All UN-Habitat publications, including its flagship reports, should contain a summary of key findings with policy implications and these findings should be publicized through press releases and interviews. All publications should be sent for review to professional and policy journals concerned with human settlements and the reviews discussed at the managerial level.

16. Immediately after this recommendation was endorsed, UN-Habitat developed an implementation plan to detail ways in which it will strengthen the internal coherence, readability and accessibility of its reports, in particular with respect to its two flagship reports: the *Global Report on Human Settlements* and the *State of the World's Cities*. To strengthen the internal coherence of its reports, UN-Habitat developed several internal work processes, including organizing periodic meetings of key authors, developing an online feedback mechanism for readers/users of the reports, and initiating an ongoing, internal process to review UN-Habitat publications in professional journals.

17. To improve upon the reports' accessibility and increase their publicity, UN-Habitat further developed or strengthened several activities based on lessons learned. An abridged edition of the *Global Report on Human Settlements* was published in 2005 in English and in Arabic. The abridged versions are written to ease their readability for non-technical experts. The 2007 abridged edition of the report will be available in March 2008. UN-Habitat plans to mobilize funds from various national Governments with the hope of providing its flagship reports in languages other than English, as well.

18. UN-Habitat flagship reports and other publications are available electronically on its Internet website. According to UN-Habitat, when the flagship reports are launched, it prepares press kits, carries out numerous interviews with major newspapers and television and radio networks, and holds press conferences in select cities in different regions throughout the world where UN-Habitat has offices. For example, the flagship report, *Global Report on Human Settlements 2007: Enhancing*

Urban Safety and Security, was launched worldwide via a press conference in conjunction with World Habitat Day in October 2007. The report has been submitted to several journals for review, according to UN-Habitat. The Programme plans to provide a summary report of these journal reviews and to submit it to its Board of Division Directors and to the Advisory Board of the Global Research Network on Human Settlements for discussion. OIOS verified that, in fact, the UN-Habitat website contains access to its publications and an online media centre, which includes report summaries, facts sheets, background documents, press releases and press kits. In addition, there is an online mechanism for receiving and posting reviews from readers of UN-Habitat publications.

19. OIOS considers this recommendation implemented.

Recommendation 5: eliminate gaps in research

The Monitoring and Research Division should prioritize its programme of research to eliminate the critical gaps in coverage that it has identified. One priority should be to provide guidance and leadership to the Human Settlements Network, focusing it on policy-oriented research.

20. According to UN-Habitat, the 2007-2008 research priorities of the Urban Economy Branch of the Monitoring and Research Division[2] are (a) a focus on local economic development within the broader macroeconomic area, (b) a focus on urban employment and the role of the informal sector in poverty reduction and improvement of urban livelihoods, and (c) rural-urban linkages (to be further refined in collaboration with key United Nations partner agencies). The Branch's process for identifying and establishing these research priorities was based on several considerations, including previous research priorities established for 2002-2005 and the subsequent research that was conducted; a gap analysis to determine the research gaps in UN-Habitat in light of its mandate and the current research being conducted throughout the organization; leveraging of UN-Habitat partnerships with other United Nations agencies so as to coordinate research activities in order to further prioritize and avoid duplication; and consideration of availability of resources.

21. According to UN-Habitat, there is no need to prioritize the activities of individual members of the Human Settlements Network, as it is a global network of institutions, regional networks and individuals. It has no unified research agenda; rather, its main purpose is to share human settlements-related research information and provide advice to its Advisory Board and to UN-Habitat on human settlements-related issues. UN-Habitat serves as the Network secretariat and facilitates the work of the Network. OIOS recognizes that UN-Habitat has clarified and corrected the initial finding contained in the report on the in-depth evaluation of UN-Habitat regarding the role of the Monitoring and Research Division and the relationship with the Human Settlements Network.

22. OIOS considers this recommendation implemented.

[2] The Urban Economy Branch is specifically referred to in the report on the in-depth evaluation of UN-Habitat as being the target unit for this recommendation.

Recommendation 6: Best Practices and Local Leadership Programme

It is recommended that:

(a) UN-Habitat management ensure that the lessons learned from the Best Practices and Local Leadership Programme are more systematically integrated into the work of the other UN-Habitat units;

(b) The guidelines and mode of operation of the Best Practices and Local Leadership Programme should be reviewed in order to focus its work more sharply on human settlements and urban poverty issues.

23. The Monitoring and Research Division of UN-Habitat created a task force to discuss how this recommendation might be addressed. Based on the OIOS review of the task force report, the task force was comprised of five individuals representing the Monitoring and Research Division, the Global Division and the Regional and Technical Cooperation Division of UN-Habitat. It met in January 2006 and submitted its proposal to the Executive Director. Based on the findings and recommendations contained in the task force report, UN-Habitat has taken several different measures to ensure that the lessons learned from the Best Practices and Local Leadership Programme are more systematically integrated into the work of other UN-Habitat units. For example, in developing the *State of the World's Cities* report, prior to 2006, Best Practices and Local Leadership Programme staff contributed a few illustrative examples of best practices for inclusion in the report. Since 2006, however, the role of such staff has shifted to a more integrated, ongoing role in the development of the entire report. Lessons learned from best practices were used to identify and analyse trends discussed in the report and provided a context to the quantitative data. In reviewing the *State of the World's Cities 2006-2007* report, OIOS confirmed that, Best Practices and Local Leadership Programme staff provided technical and advisory support to the overall development of the report.

24. Another way in which UN-Habitat strives to integrate best practices into its work more systematically is reflected in the medium-term strategic and institutional plan for 2008-2013. According to the plan, a core objective of the institutional strategy for further supporting UN-Habitat as a learning organization will be "to generate and make use of knowledge and lessons learned from field experiences", including "in-depth documentation and dissemination of lessons learned and their transferability as part of the evaluation process of selected country-level activities and the mainstreaming of documented best practices and policies as a means of promoting evidence-based arguments for policy change and reform at the national level" (see HSP/GC/21/5, para. 79).

25. Others ways in which UN-Habitat is ensuring more systematic integration of its best practices include collaborative efforts between best practices and local leadership programme staff and staff of other units in carrying out certain initiatives, publications, joint missions and use of best practices in various training activities. For example, according to UN-Habitat, Best Practices and Local Leadership Programme staff are collaborating with the Gender Mainstreaming Unit to develop a handbook on best practices of gender mainstreaming in local government and with the Safer Cities Programme on best practices initiatives on women's safety. The staff also participated in a joint expert group meeting on best practices in urban planning together with staff of the *Global Report on Human Settlements 2009*,

served on the Habitat Scroll of Honour selection panel and contributed to the expert group meeting on climate change through provision of illustrative examples of best practices on cities' adaptation and mitigation of climate change.

26. Furthermore, in response to this recommendation and as part of the process for developing the medium-term strategic and institutional plan, the Best Practices and Local Leadership Programme's guidelines and operations were reviewed and discussed by the Best Practices Steering Committee in March 2007. The Committee decided to establish more restrictive selection criteria, refine the themes and select best practice nominations for the Dubai International Award for Best Practices to Improve the Living Environment, relevant to the biennium work programme. Since November 2007, a consultant has been redesigning the database to ensure focus and alignment between the content in the database and that of the UN-Habitat work programme. The guidelines will be revised to reflect these changes in processes serving to sharpen the focus of the Best Practices and Local Leadership Programme.

27. OIOS considers this recommendation implemented.

Recommendation 7: evaluate the impact of the UN-Habitat programme managers

An independent strategic evaluation of the performance and impact of the UN-Habitat programme managers should be conducted before the end of 2006 for review by senior management at both UN-Habitat and the United Nations Development Programme, and reported to the UN-Habitat Governing Council at its twenty-first session.

28. To address this recommendation, the Governing Council requested the Executive Director to undertake an independent strategic evaluation of the UN-Habitat programme managers (see A/60/8, annex I.B., resolution 20/15). The independent strategic evaluation of the performance and impact of UN-Habitat programme managers was completed in October 2006 by an external evaluation team, commissioned by UN-Habitat (see HSP/CPR/23/6). It was the third phase of a three-phase evaluation exercise, which also included self-assessments by 32 UN-Habitat programme managers and assessments of the programme managers by staff at UN-Habitat headquarters and regional offices and United Nations Development Programme (UNDP) offices. This independent strategic evaluation assessed "the performance, effectiveness, added value and impact of the Habitat Programme Manager initiative in furthering the original UN-Habitat mandate" and, overall, concluded, inter alia, that the initiative has "significantly enhanced the ability of UN-Habitat to fulfil its mandate at the country level in support of Governments and the United Nations system through the establishment of a substantive national presence at a comparatively limited cost per country". Specifically, the evaluation found that the presence of the initiative "succeeded in placing the UN-Habitat issues on the development agenda" (see HSP/GC/21/INF/4). The evaluation also identified areas for improvement, lessons learned and recommendations for more effective programme implementation.

29. The evaluation provided the following principal recommendations: (a) the Habitat Programme Manager initiative should be continued; (b) an assessment of the initiative's comparative value (in terms of its potential for policy change, Government commitment and scope for operational programme development) should be done when identifying additional countries for the initiative; (c) there

needs to be more comprehensive and systematic training support; (d) the initiative should continue to be funded primarily through the Habitat and Human Settlements Foundation general purpose allocations; (e) recommended country programme documents should be the basis for determining the exit strategy; and (f) the memorandum of understanding between UNDP and UN-Habitat should be reviewed and extended (see HSP/GC/21/2/Add.8). The evaluation was presented at the twenty-first session of the Governing Council in December 2006 and the recommendations were integrated into the medium-term strategic and institutional plan (see HSP/GC/21/INF/4).

30. OIOS considers this recommendation implemented.

Recommendation 8: relevant pilot projects involving direct technical assistance should be designed to scale up

It is recommended that:

(a) The governing policy in regard to technical assistance for which UN-Habitat is the executing agency should be that relevant pilot projects which involve direct technical assistance for slum upgrading be designed to scale up, if they are assessed to have had a positive impact;

(b) In the context of addressing the problem of raising medium- to long-term domestic capital, a critical element of moving to scale, the Slum Upgrading Facility should clearly define its role and the division of labour vis-à-vis other international organizations and lending institutions;

(c) The Financial Rules and Regulations of the United Nations Habitat and Human Settlements Foundation should be published and promulgated by the end of 2005.

31. UN-Habitat pilot projects for slum upgrading now include a plan, in their design document or action plan, for scaling up if the pilot project proves to be effective. As just one example, according to the UN-Habitat and OIOS review of submitted documentation, there is a pilot project in Dar es Salaam to upgrade all informal settlements by 2015. The project has a plan for scaling up, which involves taking this city-wide pilot programme to the national level. The Association of Local Authorities of Tanzania meets periodically to discuss development issues and lessons learned, including those from the pilot project. The plan for scaling up entails building upon the lessons learned and replicating the implementation of the pilot project to all urban centres throughout the country.

32. "Strengthened public-private community partnerships for scaling up and replication" and "national and local budgetary allocations for slum upgrading" are key indicators of achievement in the medium-term strategic and institutional plan for 2008-2013. The resource mobilization strategy in the medium-term strategic and institutional plan includes a plan to mobilize both international and domestic investment for scaling up slum upgrading and prevention initiatives. The mobilization strategy involves applying lessons that were learned from the Water and Sanitation Trust Fund and the Slum Upgrading Facility. For example, pre-investment packages, comprising a combination of seed capital, technical assistance, policy, advocacy and capacity-building, are important elements to mitigate any perceived risks by domestic financial institutions to invest in pro-poor housing and urban development initiatives (see HSP/GC/21/5, paras. 77 and 97).

33. The defined role of the Slum Upgrading Facility includes setting up processes and demonstration projects at the local level with grants and deposits from the Facility in order to create confidence among the domestic consumer lending market. This is done to encourage access to and availability of domestic capital for local community groups that are implementing their own low income housing and upgrading projects. The Slum Upgrading Facility functions as a change agent, proving the mechanisms for leveraging private sectoral commercial finance for appropriate physical projects.

34. An OIOS audit of the Slum Upgrading Facility conducted from December 2005 to March 2006 concluded that Facility activities were in accordance with its mandate and the organizational structure and functions were supported by clear roles and responsibilities. The audit report also concluded that UN-Habitat has guidance dealing with the creation of memorandums of understanding, agreements and contracts with third parties. According to UN-Habitat, the Facility works in close partnership with the Cities Alliance, regional banks, interested financial institutions and members of the Private Infrastructure Development Group. UN-Habitat will consider future opportunities for coordination and collaboration, pending the results from the midterm evaluation of the Slum Upgrading Facility pilot programme.

35. The Secretary-General promulgated the Financial Rules and Regulations of the UN-Habitat Foundation and published them in the Secretary-General's bulletin entitled "Special annex for the United Nations Habitat and Human Settlements Foundation (series 300) to the Financial Regulations and Rules of the United Nations (series 100)", effective 1 August 2006 (ST/SGB/2006/8).

36. OIOS considers this recommendation implemented.

Recommendation 9: early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction

It is recommended that:

(a) UN-Habitat, through its involvement in the Executive Committee on Humanitarian Affairs, should promote the early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction in order to ensure that human settlements reconstruction follows best practices; to be fully integrated into the United Nations humanitarian and reconstruction process, UN-Habitat must become a member of the Inter-Agency Standing Committee;

(b) The Department of Political Affairs should consider inviting UN-Habitat to participate in the meetings of the Executive Committee on Peace and Security, as and when appropriate.

37. UN-Habitat promotes the early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction, ensuring that best practices are followed, in several ways. According to UN-Habitat, it regularly participates in meetings of the Executive Committee on Humanitarian Affairs and the Inter-Agency Standing Committee. OIOS verified UN-Habitat attendance at Executive Committee on Humanitarian Affairs and Inter-Agency Standing Committee meetings by reviewing a sample of meeting summary documents. Though not yet a full member of the Standing Committee, a formal invitation is expected in early 2008 after a

positive December 2007 meeting between UN-Habitat and the Standing Committee principals. In 2005, UN-Habitat was a member of the Inter-Agency Standing Committee tsunami task force and, in 2008 the Executive Director of UN-Habitat will be meeting with the principals of the Standing Committee to further discuss effective coordination of humanitarian assistance.

38. Moreover, UN-Habitat ensures early involvement of human settlements issues in post-conflict and disaster settings through its involvement in cluster groups of the Inter-Agency Standing Committee humanitarian assistance coordination mechanism; it serves as focal point for shelter, land and property-related issues in the following three clusters: protection; emergency shelter; and early recovery. Furthermore, UN-Habitat chairs and convenes a sub-group to coordinate cross-sectoral planning and programming across clusters that concern shelter, land and property needs. In order to ease the transition from emergency to early recovery phases, UN-Habitat has developed, together with the lead agencies of the emergency shelter cluster (the International Federation of Red Cross and Red Crescent Societies and the Office of the United Nations High Commissioner for Refugees (UNHCR)), informal protocols for UN-Habitat to assume responsibility for shelter programme coordination once an emergency phase ends. This also helps to foster coordinated efforts between the emergency shelter cluster and the early recovery cluster (led by the UNDP Bureau for Crisis Prevention and Recovery).

39. The early involvement of UN-Habitat in post-conflict and disaster assessment and reconstruction is also reflected in an increase in participation in humanitarian response programmes, including those in Darfur, Mozambique, Peru, northern Uganda, Pakistan, Bangladesh and Kenya.

40. Apart from regular participation in the monthly meetings of the Executive Committee on Humanitarian Assistance, UN-Habitat and its partners provide expertise, advice and technical support on five key human settlements-related areas of interest, including land (rights, planning, management and use), shelter (emergency, transitional and permanent), critical infrastructure (physical, social and economic), environment (as it relates to functional settlements) and livelihoods. In particular, according to UN-Habitat, assessment and reconstruction planning tools are under development and already existing ones are being identified. Joint programming efforts include those with UNHCR in the Sudan, Geneva and Kenya; the United Nations Children's Fund and the World Food Programme in northern Uganda; the United Nations Environment Programme, UNDP-Resident Coordinator's Office and UNDP in Darfur; and the International Organization for Migration and the UNDP Bureau for Crisis Prevention and Recovery in Mozambique.

41. According to the secretariat of the Executive Committee on Peace and Security, located in the Department of Political Affairs, the secretariat gives due consideration as to who to invite to secretariat meetings, relevant to the topics discussed. As the secretariat has not had any agenda items relevant to human settlement issues it has not invited UN-Habitat to any of its meetings. In an attempt to keep membership to a manageable number, the secretariat has not invited UN-Habitat to become a full-time member. In addition, according to the Chairman, the Executive Committee is awaiting clarification on the future role of the executive committees, given the creation of the Policy Committee and other entities, before

making any formal decisions on membership in the Executive Committee on Peace and Security.

42. In anticipation of UN-Habitat becoming a full member of the Inter-Agency Standing Committee in early 2008, OIOS considers this recommendation implemented. However, OIOS encourages the Department of Political Affairs to continue to consider inviting UN-Habitat to future meetings of the Executive Committee on Peace and Security, where relevant and appropriate.

Recommendation 10: fund-raising activities

UN-Habitat should clarify who within the organizational set-up is responsible for coordinating fund-raising and raising funds for the global campaigns, global programmes and technical assistance projects.

43. The new Assistant Secretary-General/Deputy Executive Director of UN-Habitat was appointed in January 2006. She has the overall responsibility for coordinating the fund-raising activities of UN-Habitat, including those for the global campaigns, global programmes and technical assistance projects. According to the Assistant Secretary-General/Deputy Executive Director, specific accomplishments related to these responsibilities include serving as Chairperson of the medium-term strategic and institutional plan Steering Committee, comprised of division directors and the Policy Adviser for Strategic Planning, to guide the development and implementation of the medium-term strategic and institutional plan action plan. Four task forces were created that further guided the planning and implementation of the action plan: the Results-based Management Task Force; the Human Resources Management Task Force; the Resource Mobilization Task Force; and the Improved Country Operations Task Force. The Assistant Secretary-General/Deputy Executive Director also initiated a meeting between UN-Habitat and donors in Oslo in 2007, in which strengthened and better coordinated donor cooperation and financial support was discussed. It is through these types of interdivisional activities that the Assistant Secretary-General/Deputy Executive Director aims to improve organizational effectiveness in both operational and financial arenas.

44. In addition, as part of the approved medium-term strategic and institutional plan for 2008-2013, a resource mobilization and communications strategy was developed. Its primary purpose is "to broaden the donor base and to improve the balance between earmarked and non-earmarked contributions on a predictable multi-year basis" (see HSP/GC/21/5, para. 88). One of the key aspects of the strategy involves establishing a Resource Mobilization Unit. The UN-Habitat Task Force on Resource Mobilization is now in the process of setting up this Unit in the Office of the Executive Director. The Deputy Executive Director is responsible for the oversight, strategic guidance and coordination of the Unit. The team will be responsible for, among other things, the following tasks:

"(a) To develop specific guidelines for resource mobilization;

"(b) To serve as a clearinghouse for funding proposals before they are submitted to the Programme Review Committee;

"(c) To package funding proposals and partners' contributions for the implementation of the medium-term strategic and institutional plan and its enhanced normative framework for donor and United Nations country team consideration;

"(d) To manage donor relations through periodic donor conferences and reporting on the use of funds and corresponding results in progress in the implementation of the medium-term strategic and institutional plan and its enhanced normative framework;

"(e) To spearhead an integrated communications and branding exercise to support the mobilization of non-conventional sources of funding" (see HSP/GC/21/5, para. 90).

45. A Resource Mobilization Officer at the P-4 level was approved by the Governing Council in April 2007 to be a member of this team, with responsibilities for enhancing and coordinating the fund-raising activities. UN-Habitat plans to fully recruit for the Unit during 2008.

46. OIOS considers this recommendation implemented.

Recommendation 11: appointment of a Deputy Executive Director

The appointment of a Deputy Executive Director of UN-Habitat should be expedited to ensure that this senior manager is available full time to focus on the administrative infrastructure and cross-cutting issues.

47. On 20 October 2005, then Secretary-General Kofi Annan announced the appointment of Inga Bjork-Klevby as the Deputy Executive Director of UN-Habitat. Ms. Bjork-Klevby's appointment commenced in January 2006 and her contract has been extended until 28 December 2009. According to the Deputy Executive Director, her primary focus has been on the medium-term strategic and institutional plan process, as described above, including strategic planning and strengthening of the corporate culture and administrative infrastructure, establishment of the Resource Mobilization Unit and the establishment and provision of support to the new Division on Human Settlements Financing. The new Division is responsible for strengthening the UN-Habitat Foundation, including its role in water and sanitation and slum upgrading through the Slum Upgrading Facility and the setting up of a trust fund for experimental reimbursable seeding operations, as approved by the Governing Council in April 2007.

48. OIOS considers this recommendation implemented.

Recommendation 12: secretariat support to Member States

In order to strengthen the support provided to the Committee of Permanent Representatives and the Governing Council, UN-Habitat should streamline the functions of the secretariat of the Governing Council by reassigning its inter-agency affairs responsibilities to another organizational unit.

49. According to UN-Habitat, as of January 2006, inter-agency affairs responsibilities have been reassigned from the secretariat of the Governing Council to the Office of the Executive Director.

50. OIOS considers this recommendation implemented.

Recommendation 13: capacity of the Evaluation and Monitoring Unit

UN-Habitat should increase the capacity of the Monitoring and Evaluation Unit by at least one post to better meet its requirements and to improve the quality of evaluation and monitoring activities.

51. By its resolution 21/1, the Governing Council of UN-Habitat approved the redeployment of a post at the P-3 level to the Monitoring and Evaluation Unit on 20 April 2007. The post was redeployed from the programme budget to the support budget under the management and administration component of the programme budget for 2008-2009. Recruitment for the post is currently under way, with the plan to have the incumbent start by the end of February 2008.

52. A new post of Monitoring and Evaluation Officer at the P-4 level was also approved in the aforementioned resolution. The new post was approved in order to "further strengthen the monitoring and evaluation activities of the organization and to support monitoring, evaluation and reporting, with particular focus on the implementation of the medium-term strategic and institutional plan, and to promote a culture in the organization that values monitoring and evaluation as a basis for decision-making" (HSP/GC/21/4/Add.2, para. 9 (d)). For the biennium 2008-2009, the post will be funded through extrabudgetary funds. The P-4 and P-3 posts will bring to five the total staffing of the Monitoring and Evaluation Unit (three Professional and two General Service staff).

53. OIOS considers this recommendation implemented.

III. Conclusion

54. Since the OIOS in-depth evaluation, UN-Habitat has undertaken several important initiatives to sharpen its focus, streamline its strategies, better leverage its resources and increase its efficiency in coordination, collaboration and management. OIOS finds that all 12 endorsed recommendations have been implemented by UN-Habitat. Many of the OIOS recommendations were addressed, either entirely or in part, through the UN-Habitat comprehensive strategic planning process and development of its medium-term strategic and institutional plan for 2008-2013, which was endorsed by the Governing Council of UN-Habitat at its twenty-first session in April 2007. OIOS commends UN-Habitat for its efforts in improving overall programme efficiencies and effectiveness.

Inga-Britt **Ahlenius**
Under-Secretary-General for Internal Oversight Services
27 March 2008